

3-1-07

Rec'd
Ifw



U.S.P.S. EXPRESS MAIL "POST OFFICE TO ADDRESSEE" SERVICE
DEPOSIT INFORMATION

Express Mail Label No.: EV 906 816 777 US

Date of Deposit: February 28, 2007

BRINKS
HOFFER
GILSON
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: D. Schmitz et al.

Appln. No.: 09/896,061

Filed: June 29, 2001

For: Automated Execution System Having
Participation

Attorney Docket No: 11927/90

Examiner: F. Poinvil

Art Unit: 3692

Mail Stop RCE
Commissioner for Patents
U.S. Patent and Trademark Office
P. O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CONTINUED EXAMINATION (37 C.F.R. § 1.114)

Sir:

Applicant(s) requests continued examination of the above-identified application under 37 C.F.R. §1.114.

☒ Submission under 37 CFR 1.114 (*check at least one of the following*):

☐ Previously submitted:

☐ Applicant(s) requests nonentry of any previously-filed unentered amendments.

☐ Please enter and consider the Amendment After Final Under 37 C.F.R. §1.116 previously filed on _____

☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

☐ Other: _____

☒ Attached is/are:

☒ An Information Disclosure Statement

☐ An Amendment to the written description, claims, or drawings

☐ New Arguments and/or New Evidence in support of Patentability

☐ Other: _____

☐ Request for suspension of action:

Applicant(s) hereby request suspension of action on the above-identified application under 37 C.F.R. §1.103(c) for a period of _____ months. (Period of suspension shall not exceed 3 months; requires Processing Fee under 37 C.F.R. §1.17(i)).

☐ Small Entity Status:

- ☐ Applicant hereby asserts entitlement to claim small entity status under 37 CFR §§ 1.9 and 1.27.
- ☐ A small entity statement or assertion of entitlement to claim small entity status was filed in prior application no. _____ / _____ and such status is still proper and desired.
- ☐ Is no longer desired.

☒ Applicant(s) calculate the following fees to be due in connection with this Request:

- ☒ A Request fee of \$790 under 37 C.F.R. §1.17(e).
- ☐ A suspension processing fee of \$_____ under 37 C.F.R. §1.17(i).
- ☐ An additional filing fee of \$_____ under 37 C.F.R. §1.16 (_____ additional independent claims and/or _____ additional total claims).
- ☐ An extension fee of \$_____ under 37 C.F.R. §1.17(a) for a _____-month extension of time.

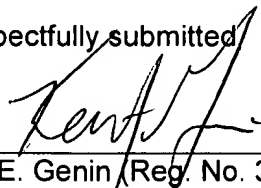
☒ Fee payment to cover the above-enumerated fee(s):

- ☐ A check in the amount of \$_____ is enclosed.
- ☒ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$790. A copy of this Request is enclosed for this purpose.
- ☐ A payment by credit card in the amount of \$_____ (Form PTO-2038 is attached).
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE). A copy of this Request is enclosed for this purpose.

Date

2/28/2007

Respectfully submitted

Kent E. Genin (Reg. No. 37,834)

U.S.P.S. EXPRESS MAIL "POST OFFICE TO ADDRESSEE" SERVICE
DEPOSIT INFORMATION

Express Mail Label No.: EV 906 816 777 US

Date of Deposit: February 28, 2007

BRINKS
HOFFER
GILSON
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: D. Schmitz et al.

Appln. No.: 09/896,061

Filed: June 29, 2001

For: Automated Execution System Having
Participation



Examiner: F. Poinvil

Art Unit: 3692

Attorney Docket No: 11927/90

Mail Stop RCE
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Transmittal (in duplicate); Request for Continued Examination (in duplicate); Information Disclosure Statement; PTO Form 1449; One Copy of References A87-A110
- ☒ Return Receipt Postcard.

Fee calculation:

- ☐ No additional fee is required.
- ☐ An extension fee in an amount of \$_____ for a _____-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$_____ under 37 C.F.R. § 1.17(_____).
- ☐ An additional filing fee has been calculated as shown below:

						Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra		Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus				x \$25=			x \$50=	
Indep.		Minus				X100=			x \$200=	
First Presentation of Multiple Dep. Claim						+\$180=			+ \$360=	
						Total	\$		Total	\$

Fee payment:

- ☐ A check in the amount of \$_____ is enclosed.
- ☒ Please charge Deposit Account No. 23-1925 in the amount of \$790. A copy of this Transmittal is enclosed for this purpose.
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

Date

2/28/2007

Kent E. Genin (Reg. No. 37,834)